

STATE OF CALIFORNIA



DEPARTMENT OF CONSUMER AFFAIRS

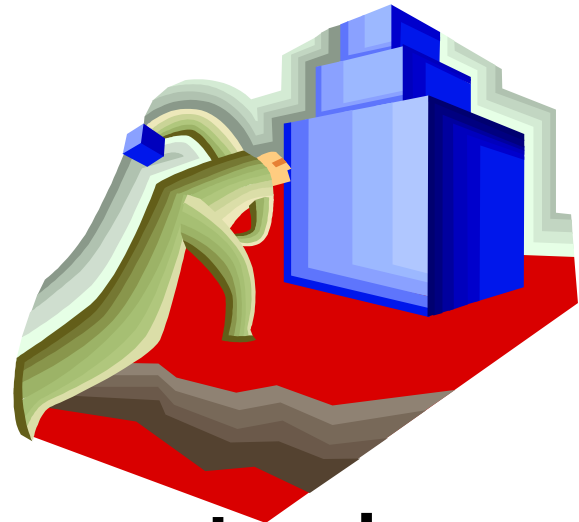


Strategic Planning in State Government

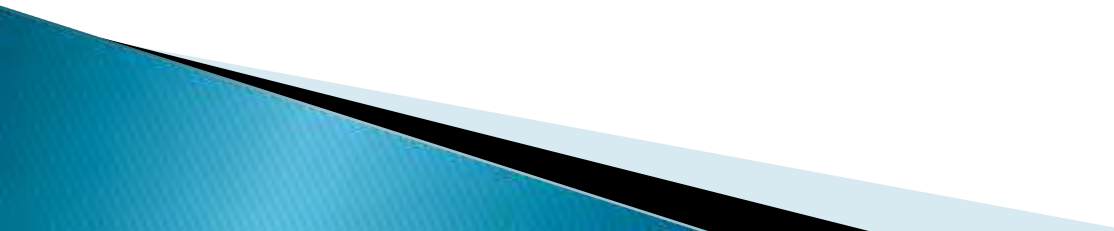
Presented by Bev Augustine
Acting Deputy Director, Program and
Consumer Services Division

Presentation Outline

- Definition of strategic planning
- Importance of strategic planning
- Tactical vs. strategic planning
- The framework of a strategic plan

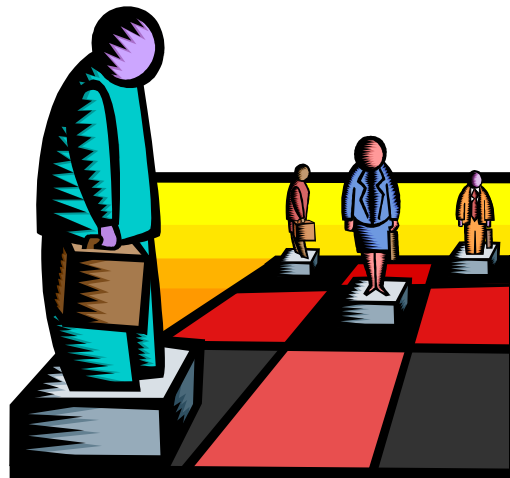


Presentation Outline

- **Developing the plan**
 - **Implementing the strategic plan**
 - **Performance measures**
 - **Facilitation tips**
- 

What is a Strategic Plan?

A strategic plan is an organization's comprehensive plan to successfully carry out its mission.




What is a Strategic Plan?


People are as important to the plan as the planning process itself.



Importance of Strategic Planning

- Moves an organization toward its outcomes
 - Prepares for contingencies that could prevent an organization from attaining its goals
 - Creates a framework for an organization's orderly growth and progress
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Why is Strategic Planning Important?

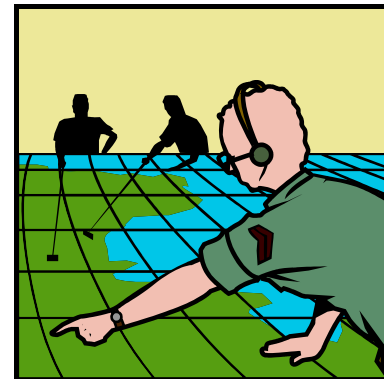
- Forms the base for annual resource needs and proper allocation of resources
 - Provides for accountability based on results
 - Links its results to funding in a way that identifies what taxpayers get for their tax dollars
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Tactical vs. Strategic Plan

- Short-term, action oriented


VS.

- Long term alignment of people, processes, systems and organization's services and deliverables

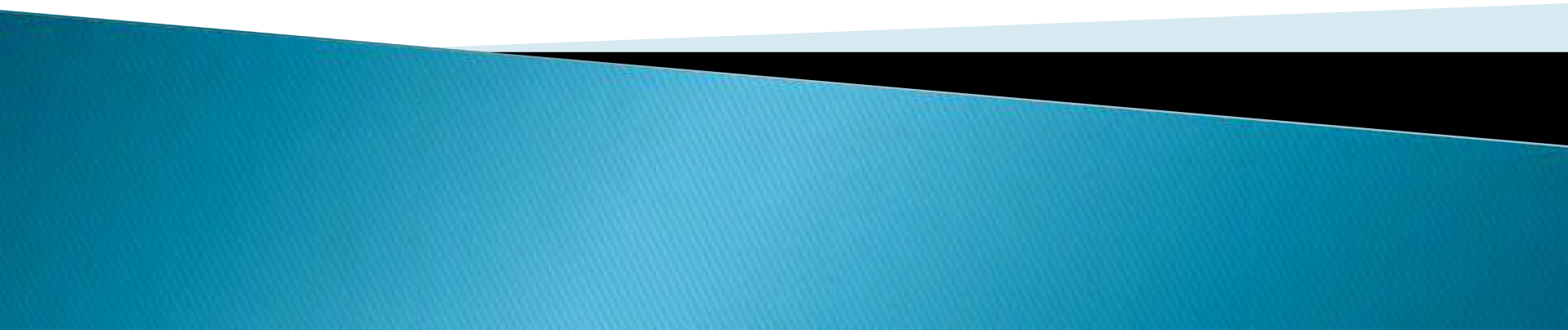


Developing the Plan

Pick a Team – Members should:

- **Represent diverse areas and interests**
 - **Possess a variety of strengths, knowledge, and skills**
 - **Be knowledgeable of organization**
 - **Be knowledgeable about customers**
 - **Be influential with constituents**
 - **Be committed to/interested in long-term direction of organization**
- 

Role of the Team

- Scope of the plan
 - Time period for plan -- how many years?
 - Who will review the plan
 - Who will manage the overall planning effort
 - Action steps for completion – who? what? when?
- 

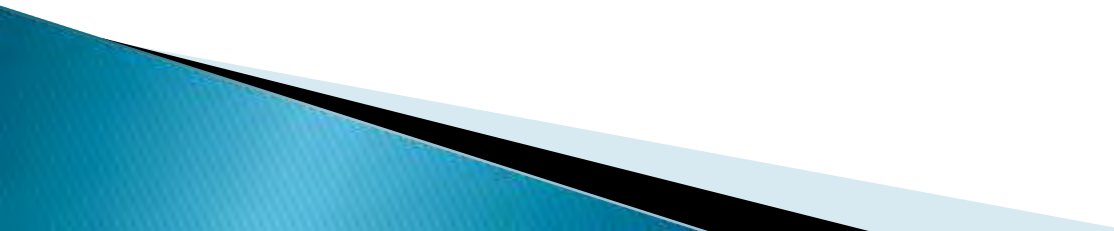
Issues and Priority Definition

- Identify Governor's Office priorities
- Identify statutory mandates
- Identify organizational issues



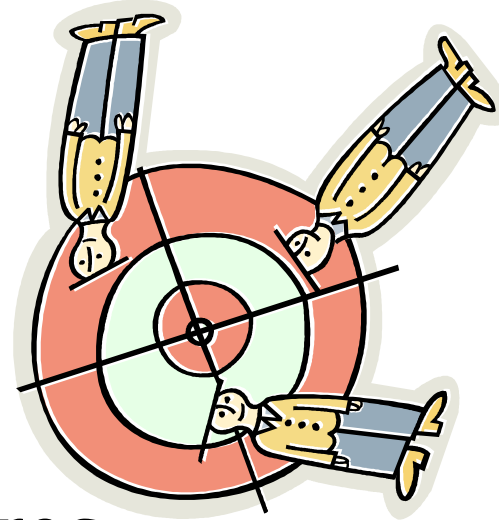
Issues and Priority Definition

Determine if organizational issues are strategic – will it create:

- **Change to mission?**
 - **New programs/service goals?**
 - **Significant staffing changes?**
 - **Significant technology changes?**
 - **Major facility change?**
 - **Major change in stakeholder relationships?**
- 

The Framework of A Plan

- Mission Statement
- Vision
- Values
- Goals
- Strategies
- Objectives
- Action Plans
- Performance Measures



SWOT Analysis

**Strengths, Weaknesses, Opportunities,
and Threats**



S

Strengths:
characteristics of the organization that give it an advantage over others.

W

Weaknesses: are characteristics that place the organization at a disadvantage relative to others.


O

Opportunities:
external chances to make a greater impact in the State.


T

Threats: *external* elements in the environment that could cause trouble for the organization.

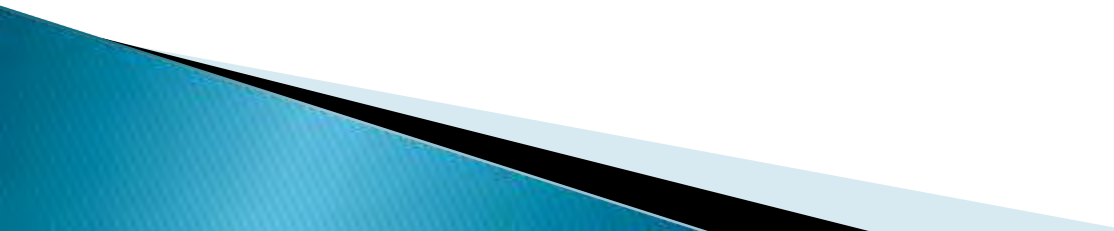
Internal SWOT

- Past performance
 - Current performance
 - Questions to consider
- 

External SWOT

- Determine external factors that influence the organization (e.g., economic, political, social, and technological)
 - How will these factors change?
 - Which will enhance the organization's ability to succeed (opportunities), which will hinder success (threats)?
- 

Customer and Stakeholder SWOT

- Customer/client – anyone who receives or uses the products or services of the agency
 - Stakeholder – any person or group with a vested interest in, or with expectations of, a certain level of performance or compliance from an organization
- 

Time for some questions!



The Framework of A Plan

Mission Statement

- A brief, formal statement of the agency's purpose
- Should answer the following questions:

Who are we?

What do we do?

Why do we do it?

For whom do we do it?



The Framework of A Plan

Mission Statement

To protect and serve the interests of California consumers.



The Framework of A Plan

Vision Statement

- A compelling, conceptual and vivid image of the desired future
- Non-attainable – it describes a perfect-world scenario



The Framework of a Plan

Department of Health Care Services Vision

Vision

Quality health care will be
accessible and affordable
to all Californians



The Framework of A Plan

Values

- Describe how the agency conducts itself in carrying out its mission
- Reflect the agency's attitude about:
 - People
 - Processes
 - Performance



The Framework of a Plan

Values

- Accountability
- Efficiency
- Effectiveness
- Integrity
- Customer Service
- Employees
- Unity



The Framework of A Plan

Goals

- Statements of the desired end results – generally after five years or more
- Should focus on outcomes
- Must support the mission and vision
- *Must support the organization's core business functions



The Framework of A Plan

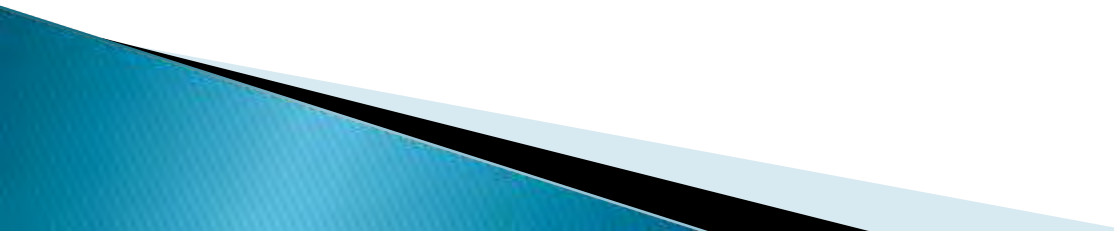
DCA's Core Business Functions & Goals

- Business Function: Licensing
- Goal: California is the recognized national leader in professional licensing and contributes effectively to job growth in California.



The Framework of A Plan

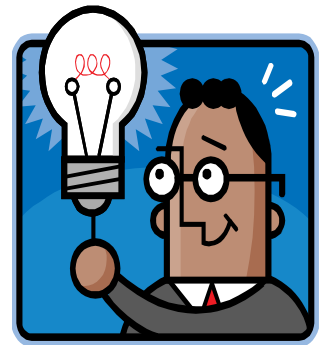
DCA's Core Business Functions & Goals

- Business Function: Consumer Education
 - Goal: DCA's effective communication and outreach efforts provide customers and licensees with relevant, timely, up-to-date information.
- 

The Framework of A Plan


Objectives

- Steps for achieving the goal
- S.M.A.R.T. -- Specific, measurable, achievable, results-oriented, time-certain



The Framework of A Plan

Goal/Objective

- Goal: California is the recognized national leader in professional licensing.
 - Objective: Evaluate the licensing process for efficiency by September 30, 2010.
- 

The Framework of A Plan

Action Plans

- Major activities for achieving an objective
- Who is responsible for the activity
- The date the activity will be completed



Why Measure Performance?



What gets measured,
gets improved.

Why Measure Performance?

To hold ourselves accountable to the public and other stakeholders.



What is a Performance Measure?

A quantitative or qualitative description of performance. Examples:

Cycle Time: Average number of days to complete complaint intake

Volume: Number of complaints received

Efficiency: Average cost of investigating a complaint



What Exactly is Measured?


Business processes – the processes that support business functions -- are measured.



Business Process– an ongoing, recurring, and systematic series of actions that transforms an input into an output.

**Examples: complaint investigation;
outreach activity; licensing**

What Exactly is Measured?

- **Business Function:** Enforcement
 - **Goal:** California is the recognized leader in enforcement.
 - **Objective:** Set and maintain model professional standards in enforcement.
 - **Business Process:** Complaint investigation
 - **Measure:** Average number of days to complete formal investigations.
- 

What Exactly is Measured?

- **Input – resources used in delivering a service or good.**
Examples: staff members; office supplies; equipment
- **Output– a product or service produced by a program activity or effort.**
Examples: a training course; a completed investigation; a license issued



Developing and Using Performance Measures

Major Categories of Measures

- Volume
- Cycle Time
- Efficiency (cost)
- Customer Service
- Quality



Developing and Using Performance Measures

A balanced set of measures is important.



Examples:

- You must know the Volume of your workload before you can assess Cycle Time.
- Customer Satisfaction measures will provide you with input on processes.

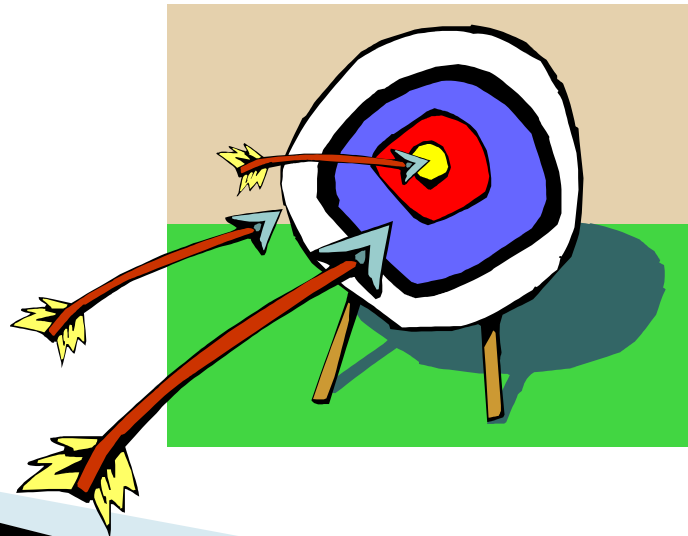
Measurement Terminology

- **Baseline** – the initial level of performance upon which future performance is measured
- **Benchmark** – to measure an organization's products or services against the best existing products or services



Measurement Terminology

- **Target** – A level of performance expressed as a tangible, against which actual achievement is compared



Measurement Terminology

Measure, Baseline, Target Examples:


Measure: Average number of days to complete complaint intake

Baseline: 5 days

Target: 2 days

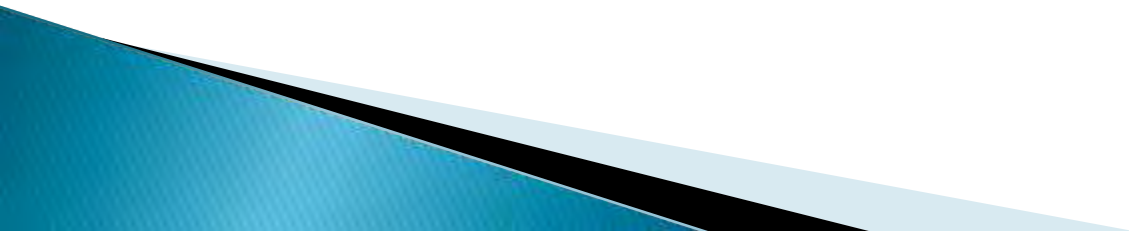


Tips on Measurement

- Flowchart or diagram processes first.
 - Measure what is important strategically.
 - Measure what you are responsible for.
 - Measure what you can control, directly or indirectly.
 - Ask your customers/clients what to measure.
- 

Questions

Any questions about performance measures?



Strategic Plan Facilitation

**“I know all about strategic planning. . .
so I can facilitate a group in developing one. . .”**

Not so fast!



Strategic Plan Facilitation


- Knowledge of strategic plans \neq group facilitation skills
- First, obtain facilitation training!



Facilitator Best Practices

- **Get the committee out of their seats:**

Creating a strategic plan in a one-day session can be grueling. Allow for adequate breaks, and have the committee move to standing positions, working on easels or white boards to complete group work.



Facilitator Best Practices

- **Lead the horse to water:**

You can speed up some parts of the session by offering examples of other strong plans.

Facilitator Best Practices

- **Narrow the Values:**

Settling on a list of values is often a bottleneck in the session. Offer flashcards with 20 – 30 commonly used values for committee to select from.

Case Studies

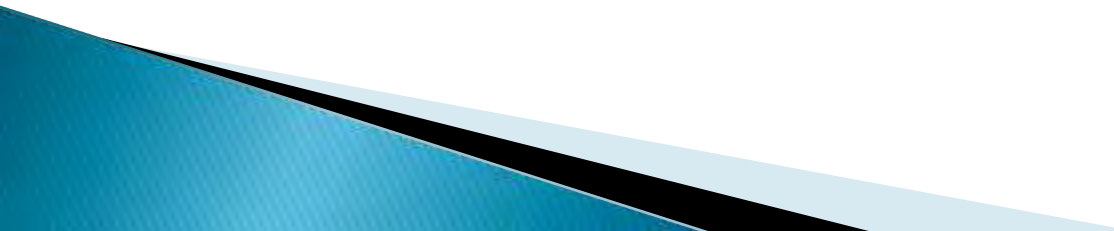
California Consumer Affairs Association

A 30-year old association of
local, state, and federal consumer
protection agencies




Case Studies: California Consumer Affairs Association

Challenges:

- No strategic plan in the past.
 - Long-time members with strong opinions and new members with lots of ideas.
 - Lack of consensus on the purpose of the organization.
- 

Case Studies: California Consumer Affairs Association

Success:

- Held two day-long sessions. 1st session – mission, vision, values only.
 - 2nd session – developed goals and objectives.
 - Tight agenda with strict timelines.
 - Gave examples of consumer protection agency plans.
- 

Case Studies

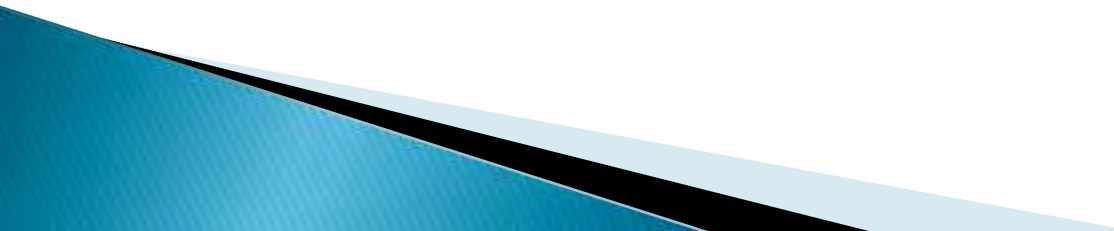
California State Athletic Commission

**Regulates boxers, mixed martial arts,
and matches**



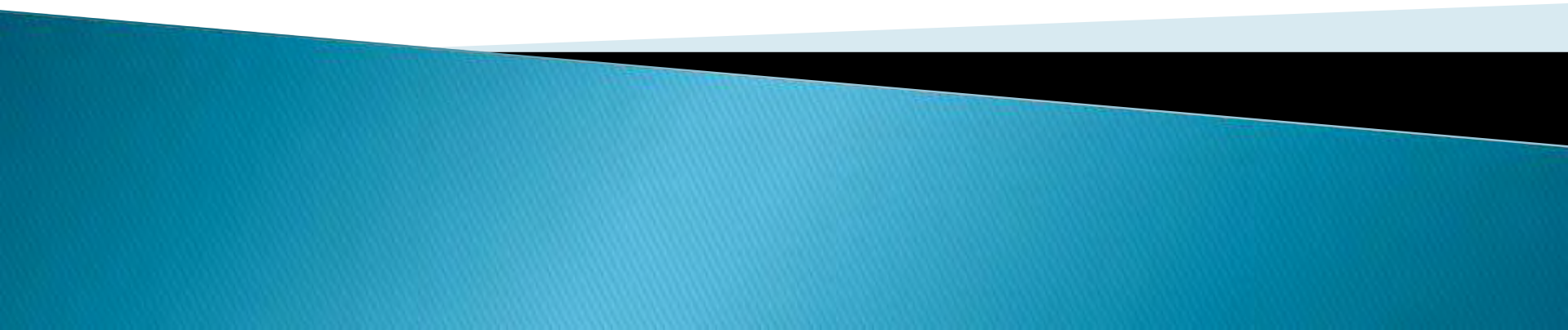
Case Studies: Athletic Commission

Challenges

- Several recent changes in executive director.
 - Committee members committed to spending one day only developing the plan.
 - New committee members who had never participated in strategic planning.
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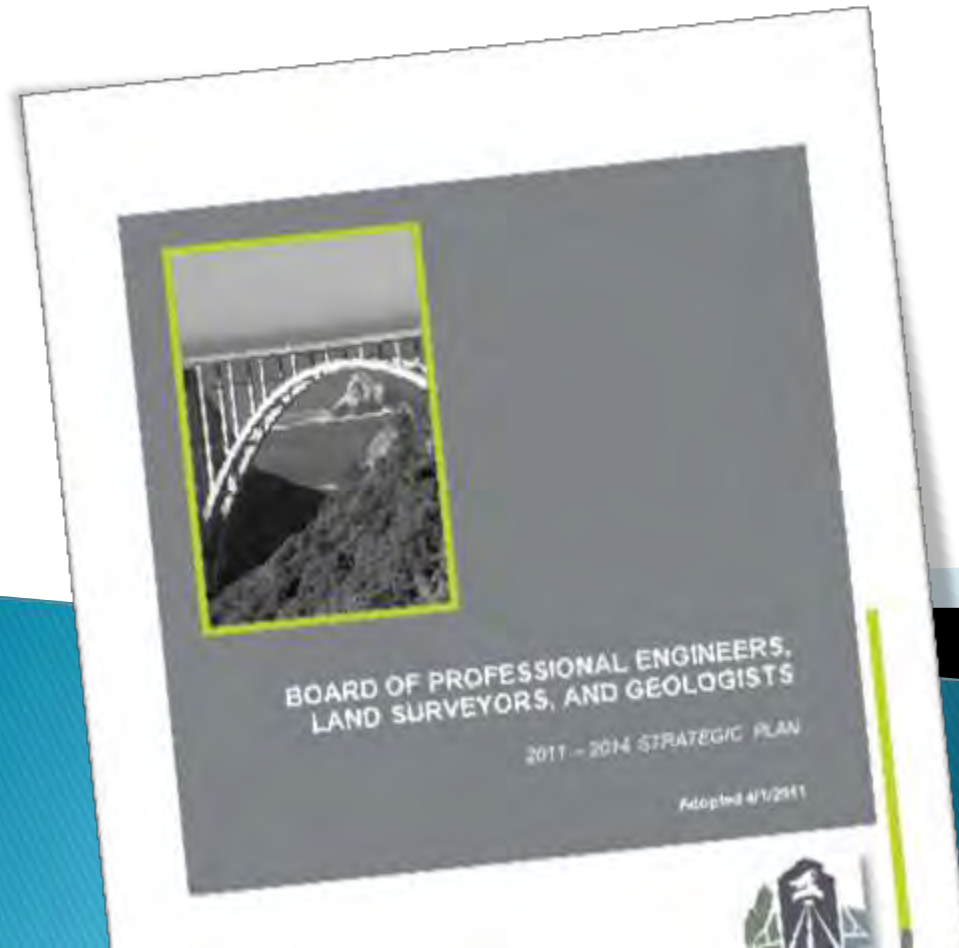
Case Studies: Athletic Commission

Success

- Provided definitions and examples of mission, vision, goals, objectives
 - Very tight agenda with strict timelines
 - Provided copies of previous strategic plan before the meeting
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Case Studies

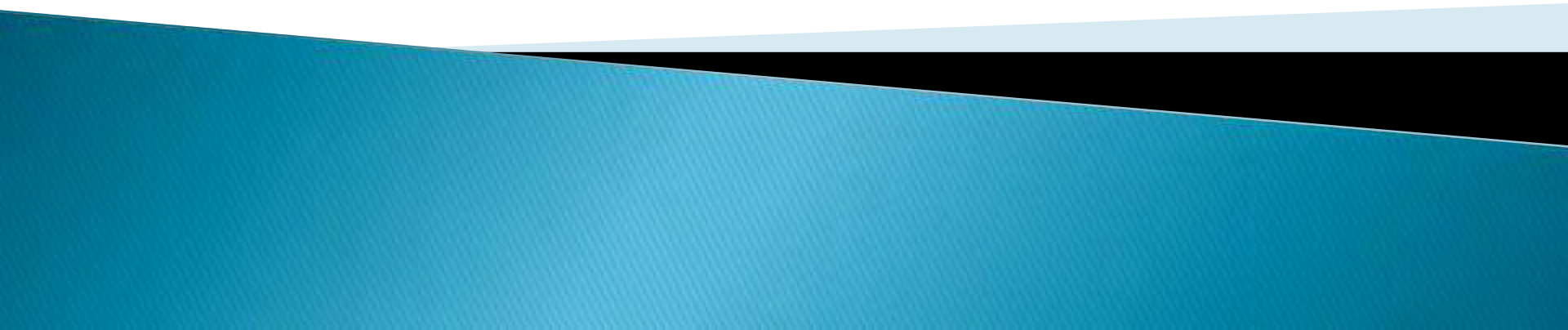
Board of Professional Engineers, Land Surveyors, and Geologists



Case Studies: BPELS

Challenge

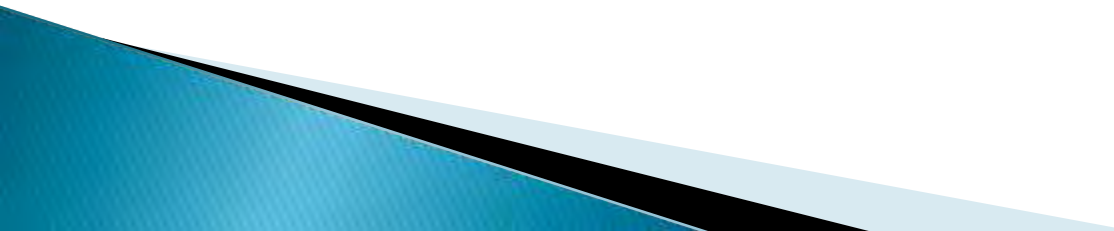
Committee was too large: Board requested additional managers and staff to sit on the committee. 22 members total.



Case Studies: BPELS

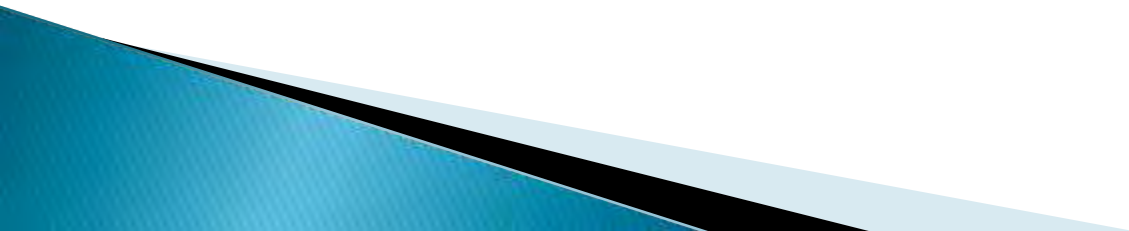
Success

Broke the committee into focus groups: Four groups worked simultaneously, adding goals to the established objectives, then switched to different whiteboard stations to continue the work of the previous group.

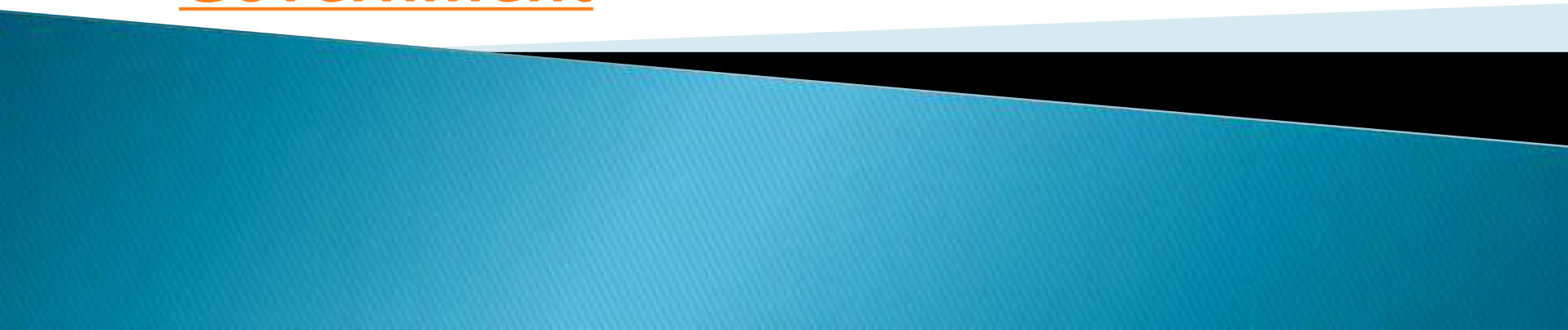


Questions

Any questions about facilitation?



Resources

- CA State Library – Free on-line sources
 - E-books – Safari
 - Academic journals and periodicals
 - IBM Center for the Business of Government
- 

Resources

- Performance Management Council – Little Hoover Commission

<http://www.bestpractices.ca.gov>

- CA Department of Personnel Administration

<http://www.dpa.ca.gov/training/free/resources/performancestandards/main.htm>

Take-Away Points



- People are as important to the plan as the process itself.
- Strategic plan goals must support the organization's business functions.
- Those processes that support the core functions should be measured.
- What gets measured, gets improved, and gets done!

Questions?

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Strategic Plans:

www.dca.ca.gov



Thank you for attending!

- ▶ You will be sent an e-mail with evaluation questions and a link to your certificate of completion.
- ▶ The recorded sessions will be posted to the [Virtual Training Center](#) on the DPA website.

The webinar is now over.

